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528-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Shin ASADA et al. :  
Serial No. NEW : Attn: Application Branch  
Filed March 4, 2002 : Attorney Docket No. 2002\_0320



AN OPTICAL DISC, A RECORDER, A PLAYER, A RECORDING METHOD, AND A  
REPRODUCING METHOD THAT ARE ALL USED FOR THE OPTICAL DISC  
(Rule 1.53(b) Continuation  
of Serial No. 09/662,350,  
Filed September 14, 2000)

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents,  
Washington, DC 20231

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request  
consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional  
information identified below in paragraph 3. A legible copy of each reference listed on the form  
PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not  
provided for each reference previously cited by or submitted to the Patent Office in prior parent  
application Serial No. 09/662,350.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the  
above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office  
Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, or  
(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and  
the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

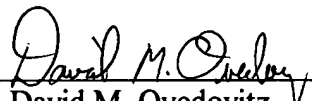
- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or  
b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page ,
  - d. ☒ the concise explanation set forth in the English language abstract in prior patent application Serial No. 09/662,350,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Shin ASADA et al.

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March 4, 2002

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: March 4, 2002

ATTY DOCKET NO.  
2002\_0320SERIAL NO.  
NEWAPPLICANT  
Shin ASADA et al.FILING DATE  
March 4, 2002GROUP  
261510/08/02  
10/08/02  
03/04/02

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,160,952	12/2000	Mimura et al.			
	AB	6,031,963	2/2000	Kitamura et al.			
	AC	5,715,356	2/1998	Hirayama et al.			
	AD	5,923,627	7/1999	Miwa et al.			
	AE	6,167,189	12/2000	Taira et al.			
	AF	6,185,365	2/2001	Murase et al.			
	AG	5,729,516	3/1998	Tozaki et al.			
	AH						
	AI						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AJ	0795871A2	9/1997	EP			
	AK	0724264A2	7/1996	EP			
	AL	0737008A2	10/1996	EP			
	AM	0795859A2	9/1997	EP			
	AN	0789361A2	8/1997	EP			

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	
	AP	
	AQ	

EXAMINER

DATE CONSIDERED

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10868 U.S. PTO  
10/086539  
03/04/02

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	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AJ	2,182,260	2/1997	Canada			
	AK	9-252450	9/1997	Japan			Abstract
	AL	9-51501	2/1997	Japan			Abstract
	AM						
	AN						

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	
	AP	
	AQ	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.